

# GRANT APPLICATION PACKAGE

## OFFICE OF GLOBAL PROGRAMS

**Must have at least one signed original of all forms (FACSIMILE NOT ACCEPTABLE FOR ANY FORM)**

**(A) NEW STARTS:**

- (1)** SF 424 "Application for Federal Assistance" (original & 2 signed copies) All areas MUST BE FILLED IN please!

ITEM 1 - Type of Submission Application is Non-Construction, please check box.

ITEM 2 - Date Submitted MUST be filled in

ITEM 3 - Date Received by State - State review is unnecessary

ITEM 4 - Date Received by Federal Agency - OGP fills this in

ITEM 5 - Applicant Information: ***Legal Name is the name of the University,***  
Organizational Unit, I.e., Marine Sciences, Department of Oceanography,  
etc.

Address of University, - Name and telephone number of person to be contacted...  
Should be the SPO for administrative matters. The PI can be listed for technical  
matters if necessary. DO NOT LIST THE PI AS THE CONTACT FOR ALL MATTERS.

ITEM 6 - Employer Identification Number (EIN) **MUST BE FILLED IN**

ITEM 7 - Type of Applicant: (enter appropriate letter in box) **MUST BE FILLED IN**

ITEM 8 - Type of Application: **MUST BE FILLED IN**

ITEM 9 - Name of Federal Agency: National Oceanic and Atmospheric Administration

**ITEM 10 - Catalog of Federal Domestic Assistance Number: 11.431**  
**(ITEM 10 MUST BE FILLED IN BY THE UNIVERSITY) both CFDA # and**  
**title**

**Title: Climate and Atmospheric Research**

ITEM 11 - Descriptive Title of applicant's Project: Title of Proposal

ITEM 12 - Areas Affected by Project: (cities, counties, states, global) Please fill this in

**ITEM 13 - Proposed Project - Please fill in start date and ending date as follows: MONTH/DAY/YEAR EXAMPLE: 4/1/99 - 3/31/2000 For multi-year projects, please add those years to end date - 4/1/99 - 3/31/2002**

ITEM 14 - Congressional Districts of: Applicant, and Project -**MUST BE FILLED IN**

This is the Congressional District the applicant resides in and the Congressional District the project will be completed in.

NOTE: Item 15 - **Differs in type of application - for multi-year projects only-**

Estimated Funding - should include the entire period of funding for both Federal Share and Applicant Share. **MULTIPLE YEAR PROJECTS** - Multiple-year projects, and Non-multi year projects should be filled in THE SAME AS FOR MULTI-YEAR PROJECTS. OGP is a multi-year and a multiple-year program. For multi-year, AND MULTIPLE YEAR funding period, 1, 2 or 3 years should be entered here for both federal and non-federal.

Remember though OGP is not a cost sharing program, if you are funding any portion of the research project, that amount must be shown in both the SF424, SF424a Page 1 & 2, but on the budget page, with explanations.

(2) SF424a - Page 1 and 2 “Budget Information Non-Construction Programs”  
(PLEASE FILL IN BOTH OF THESE PAGES AS INSTRUCTED)

Page 1 - Section A - Multi-Year - If more than one year of funding is requested, entire amount of funding for all years requested is entered in section “New or Revised Budget” column ‘e’ line 1 and 5 and column ‘g’ line 1 and 5

Section B Budget categories should be filled in - column 1 for year 1, column 2 for year 2, and column 3 for year 3 (if you have a 3rd year of funding), and if applicant is contributing, please enter applicant amount separately, either a split line, or if there is room, separate columns by fed and applicant.

PLEASE FILL IN THE TOTAL COLUMN IN EACH SECTION OF THIS FORM.

FOR MULTIPLE YEAR, PLEASE FILL IN EXACTLY AS SHOWN ABOVE, BUT THE AWARD DOCUMENT WILL ONLY SPECIFY ONE YEAR OF FUNDING.

Page 2 - **Section D “Forecasted Cash Needs”** must be filled in for both multi-year and multiple year.

**Section E should be filled in for multiple year, as this action is being funded one year at a time.**

**Section F - Should be filled in.**

## BUDGET

(3.) Budget outline - *see sample provided.*

**IF YOU CHOOSE NOT TO FOLLOW THIS EXAMPLE, PLEASE USE THE CATEGORIES SHOWN.**

#### **(4.) Budget narrative**

Details must accompany the budget - *Never* use the word miscellaneous to describe any category on the budget or in the budget narrative. The same level of detail should be provided for *contributions, cost sharing, or matching funds* as is provided for the federal-share.

**ANY FUNDING BEING CONTRIBUTED, EQUIPMENT, SALARY, FRINGE BENEFITS, ETC., IS CONSIDERED COST SHARING OR MATCHING, EVEN THOUGH OUR PROGRAM DOES NOT REQUIRE A MATCHING SHARE. IF ANYTHING IS BEING CONTRIBUTED, IT MUST BE SHOWN IN THE BUDGET, AND EXPLAINED IN THE BUDGET NARRATIVE.**

**SALARY** - salaries must show how much individual is paid per hour or per year, also the amount of time the individual is to work on the proposed project.

Fringe benefits - Should show makeup of the fringe (annual leave, sick leave, unemployment insurance, etc.), and rate, unless it is provided in the Indirect Cost Rate Agreement

**EQUIPMENT: Two categories, both permanent and expendable must be described.**

SHOULD INCLUDE "LEASE VS BUY" ANALYSIS ON ALL PERMANENT EQUIPMENT TO BE PURCHASED

**TRAVEL BREAKDOWN** - must show costs for AIR FARE, PER DIEM, GROUND TRAVEL AND REGISTRATION FEES IF ANY. **REMEMBER IF FOREIGN TRAVEL IS NOT A PART OF THE ORIGINAL APPLICATION, THEN AFTER A PROJECT IS FUNDED, APPROVAL OF THE PROGRAM OFFICE IS NECESSARY BEFORE FOREIGN TRAVEL CAN BE UNDERTAKEN. SEE FORM ATTACHED TO BE USED WHEN APPLYING FOR FOREIGN TRAVEL NOT ITEMIZED IN INITIAL APPLICATION.**

PUBLICATION AND DOCUMENTATION  
(itemize page charges, zerox, color prints, etc.)

OTHER category - must be itemized - sometimes consultants are listed in this category, computer costs, supplies or maintenance, or usage???

**REMEMBER - THE WORD MISCELLANEOUS CANNOT APPEAR ON A BUDGET FOR NOAA ANYWHERE -**

**GRANT FUNDS CANNOT BE USED TO PAY FOR GOVERNMENT EMPLOYEE TRAVEL, PER DIEM, SALARY, ETC. (can only be used for non-governmental personnel - principal investigators and support staff)**

**If a government employee is shown as a PI, no salary can be shown, and it must be explained that his time is no compensated in any way. Please explain in detail his involvement, whether it is substantial or not.**

SUB-CONTRACT - Must show salary detail, equipment to be purchased, travel breakdown, and statement of work to be performed, as well as any other information needed on the budget. Must show if indirect cost rate is charged from sub-contracting party - this should show in budget outline and budget narrative.

IF SUB-CONTRACT OR CONSULTANT SERVICES ARE BEING UTILIZED PLEASE EXPLAIN HOW THEY WERE SELECTED - IF NOT COMPETITIVE, PLEASE INCLUDE SOLE SOURCE JUSTIFICATION FOR SELECTION, INCLUDE BUDGET FOR THEIR SERVICES and *Statement of Work*. *NOAA has a proposed policy of a cap for consultant funds. The suggested amount is \$433 per day.*

**SUB-CONTRACTING-** Sub-Contractors must submit to the UNIVERSITY, **for their RECORDS** -CD512- “Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion-Lower Tier covered Transactions and Lobbying”

SAMPLE

BUDGET

		Man-
		TOTAL
A. SALARIES AND WAGES		
Months		
1. Senior Personnel		
a. Principal Investigator		
b. Associates		
Sub-total	0.00	0
2. Other Personnel		
a. Professionals		
b. Research Associates		
c. Research asst. grad students		
d. Post Docs/Accounting		
e. Secretarial-clerical		
f. Technical		
TOTAL Salaries and Wages		
B. FRINGE BENEFITS		
TOTAL Sal, Wage, Benefits (A-B)	0.00	0
C. PERMANENT EQUIPMENT		
D. EXPENDABLE EQUIPMENT		
E. TRAVEL		
1. Domestic		
2. International		
TOTAL TRAVEL		0.000
F. PUBLICATION AND DOCUMENTATION		
G. OTHER COSTS		
1. Computer Costs		
2. Telephone - communication		
3. Sub-contract		
4.		
TOTAL OTHER COSTS		
TOTAL DIRECT COSTS (A THROUGH G)	0.00	0
INDIRECT COSTS (on-campus)		0.000
INDIRECT COSTS (off-campus)		0.000
TOTAL INDIRECT COSTS		0
TOTAL COSTS		0

- (5.) SF424b - "Assurances - Non Construction Programs" must be signed.
- (6.) CD 511 - "Certification Regarding Debarment, Suspension and other Responsibility Matters; Drug-Free Workplace Requirements and Lobbying" **Please remember to fill in place of performance on page 2 of this form.**
- (7.) **Current and Pending Support Listing** - for all principal investigators involved in the project, showing support from all government agencies. (See form attached)
- (8.) Copy of current approved negotiated Indirect Cost Rate Agreement

**GRANT PROGRAM CODE - PLEASE FILL IN SECTION 10 OF THE 424**

**LINE Office: Office of Global Programs (GP**

**Program Code: 11.431**

**Program title: Climate and Atmospheric Research**

### ***(B.) CONTINUATION***

For Continuation of a non-multi-year project or a supplement to an existing project, requirements are - **A PROGRESS REPORT PLUS "Statement of Work"** (One or two page narrative description of proposed activity, objectives and milestones) plus all the forms listed above, SF424, 424a, 424b, CD511, budget and budget narrative, Last indirect cost rate agreement for the University (agency). This information should be received by the Office of Global Programs at least 90 days before the continuation start date.

**CONTINUATION OF A MULTI-YEAR PROJECT REQUIRES ONLY THAT SATISFACTORY PROGRESS REPORTS HAVE BEEN SUBMITTED IN A TIMELY MANNER and the FILE IS CURRENT (TO BE CURRENT, PROGRESS REPORT MUST BE COMPLETE UP TO AT LEAST 90 DAYS BEFORE START DATE OF SUCCEEDING YEAR. REMEMBER - THE PRINCIPAL INVESTIGATOR (NOT THE SPONSORED PROGRAM OFFICE) SHOULD BE IN TOUCH WITH THE PROGRAM MANAGER BEFORE START OF SECOND OR THIRD YEAR OF PROJECT. IT HELPS SOMETIMES TO TOUCH BASE, BRING THEM UP TO DATE PERSONALLY ON ACCOMPLISHMENTS, OR TO TALK OF UNANTICIPATED PROBLEMS IN THE CURRENT OR PAST YEAR OF THE PROJECT. THIS CALL IS ALSO HELPFUL IF HE/SHE HAS ANY QUESTIONS ABOUT FUNDING FOR THE UPCOMING YEAR.**

**REMEMBER: PROGRESS/PERFORMANCE REPORTS ARE THE KEY TO A GOOD RELATIONSHIP WITH THE FEDERAL GOVERNMENT/PROGRAM OFFICE. IF THE AMOUNT OF FUNDING or SCOPE OF WORK CHANGES IN SUBSEQUENT YEARS, THEN ALL ITEMS LISTED UNDER (B.) ARE REQUIRED FOR MULTI-YEAR AND MULTIPLE YEAR APPLICATIONS. A JUSTIFICATION FOR INCREASED OR DECREASED AMOUNTS in funding IS REQUIRED FROM THE PROGRAM OFFICER, AND AN EXPLANATION OF WHAT WILL BE CHANGED IN THE SCOPE OF WORK IS REQUIRED FROM THE PRINCIPAL INVESTIGATOR. THIS IS NECESSARY ALL OF THE TIME.**

**WARNING - THE FINANCIAL REPORTS WHICH ARE SUBMITTED TO THE GRANTS MANAGEMENT OFFICE MUST ALSO BE CURRENT BEFORE AN AWARD CAN BE SIGNED. These financial reports are not to be submitted to the Program office, but to the Grants Management Division.**

### **STATEMENT OF WORK for the PROPOSAL**

The statement of work should state the hypothesis (identify problems), identify the objectives, tasks, milestones, and degree of Federal Involvement (IF ANY), contributions/donations from

other than government, permanent equipment purchases necessary, subcontracting to include to which University, their tasks and objectives, and travel, both foreign and domestic which should be described in detail (where and for what reason).

#### MULTI-YEAR MULTIPLE-YEAR STATEMENT OF WORK

For all scientific research projects, statements of work to be accomplished must be submitted for each year separately, along with the statement of work for the entire project. These brief descriptions of what they will do each year, should only be about a paragraph in length, thus 3 years could easily fit on 1 or 2 pages. Each year's work must be severable, able to provide a definable product in-and-of-itself, since future fiscal year funding can not be guaranteed by the Federal Government.

FAILURE TO COMPLY WITH THESE INSTRUCTIONS CAN SERIOUSLY DELAY THE PROCESSING OF YOUR APPLICATION, which can change/delay your start date.

FOR YOUR CONVENIENCE, A COPY OF CIRCULAR A-21 AND A-110 ARE ATTACHED TO THIS APPLICATION BOOKLET. THESE CIRCULARS ONLY APPLY TO NON-PROFIT AND UNIVERSITIES.

**OGP  
FOREIGN TRAVEL REQUEST**

I would like to request approval of foreign travel not requested in my original proposal. I certify that it was necessary for:

\_\_\_\_\_  
(Name of traveler)

to use: \_\_\_\_\_  
(Name of foreign carrier)

-----  
(flight identification number)

between: \_\_\_\_\_

and: \_\_\_\_\_

enroute to: \_\_\_\_\_

enroute from: \_\_\_\_\_

on: \_\_\_\_\_  
(date of travel)

for the following reasons: \_\_\_\_\_

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

## **PERFORMANCE/PROGRESS REPORT REMINDER**

As previously noted, Annual Progress Reports will be expected 9 months after the start date of the project, because continuation submissions are due in the Program Office 90 days before start date required. Remember, if you experience delays, problems during the research period, please include it in your progress report, so the Program Manager can be aware that an extension may be required.

Project end date + 90 days - **Final Report due**

**FAILURE TO SUBMIT PERFORMANCE/PROGRESS REPORTS IN A TIMELY MANNER CAN RESULT IN AN AWARD TERMINATION.**

**PROGRESS REPORT  
FOR  
THE OFFICE OF GLOBAL PROGRAMS**

-----  
**(AWARD NUMBER)**

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**(PERIOD COVERED BY THIS REPORT)**

**PLEASE INCLUDE ALL PERTINENT INFORMATION CONCERNING THE  
PERFORMANCE OF THIS PROJECT, AND LIST PROBLEMS THAT HAVE  
IMPACTED THE PROGRESS OF THE RESEARCH.**

## **EXPANDED AUTHORITY**

*Expanded authority may differ from time to time.*

**PLEASE READ THE TERMS AND CONDITIONS RECEIVED WITH THE AWARD CAREFULLY - YOU MAY UNDER EXPANDED AUTHORITY BE ABLE TO:**

Extend the final budget period of a project for a period of one year beyond the original expiration date shown on the Award if one of the following applies:

- additional time beyond the established expiration date is required to assure completion of the original approved project scope or objectives; or
- continuity of NOAA financial assistance support is required while a competing application is under review; or
- the extension is necessary to permit an orderly phaseout of a project that will not receive continued support.

Carryover unobligated funds remaining at the end of a budget period if there are approved activities that remain uncompleted. Remember to carryover funds, you note the SF269.

Remember any action taken under expanded authority should be reported in writing to the GMD or the Program Office, so that an authorizing document can be sent to you from the Grants Management Division. Until the authorization is received from the Grants Management Division, you cannot draw down money remaining. At the end of the period of performance, a stoppage of your account can/will occur if nothing is in place to allow you to continue to work.

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(Name of Investigator)

A	B	C	D	E
Supporting Agency	Project Title	Award Amount	Period Covered by	Man-Months Acad.Sum.Cal.

Award

